

GENERAL DOUGLAS MACARTHUR MILITARY LEADERSHIP WRITING COMPETITION SUBMISSION

Managing a Leader Transition Process

Major Michael B. Siegl

23 February 2007

Report Documentation Page				Form Approved OMB No. 0704-0188	
Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.					
1. REPORT DATE 23 FEB 2007		2. REPORT TYPE		3. DATES COVERED 00-00-2007 to 00-00-2007	
4. TITLE AND SUBTITLE Managing a Leader Transition Process				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) U.S. Army Command and General Staff College, Fort Leavenworth, KS, 66027				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT Same as Report (SAR)	18. NUMBER OF PAGES 16	19a. NAME OF RESPONSIBLE PERSON
a. REPORT unclassified	b. ABSTRACT unclassified	c. THIS PAGE unclassified			

...one should bear in mind that there is nothing more difficult to execute, nor more dubious of success, nor more dangerous to administer than to introduce a new order of things.¹

Leader transitions are critical times. In the military, leaders conduct extensive planning and preparations for operational transitions such as from the defense to the offense to help shape the conditions for decisive operations. Leadership transitions in an organization are no less complex and challenging. Conducted properly, the transition period can lay the groundwork and provide a framework for action that helps mitigate uncertainty and create the conditions for success. Transitions provide windows of opportunity for organizational renewal and evolution. Therefore, transition is a means through which change can occur. Leaders can exploit these transitions to help improve the organization because change is expected. Having a plan for the transition ensures leaders can maximize the opportunities and mitigate the challenges that arise during the process. Figure 1 on page 12 is a graphic representation of a generic leader transition timeline.² The procedures outlined enable a systematic process that can help leaders achieve a successful transition.

The principles in a methodical and well-ordered leader transition process are constant. However, the intricacies of each organization and complexity of the environment require leaders to assess and visualize the situation. Visualization helps leaders develop a better understanding of the context within which the transition will take place. Accurately assessing each situation and identifying the challenges and opportunities early are essential to developing a strategy that matches the context and needs of the organization. Based on the circumstances, leaders may shorten or lengthen the transition process shown in the timeline. However, the transition process should begin before the first day at the organization. This period prior to arriving at the organization is the Shaping Front in the timeline. During this segment, leaders begin the process of assessing, visualizing, and planning the various facets of the transition.

The Army provides several conceptual models that can help leaders formulate a strategy that meets the circumstances they face in transitioning into a new organization. Leaders can use the Army's operations process activities of Plan, Prepare, Execute, and Assess to help sequence the thought processes and activities.³ Additionally, the Army has developed a seven step problem-solving model that provides a systematic way to solve problems.⁴ The first step, identifying the problem and clearly defining it, is critical

because problems are not always apparent. Incorrectly identifying the problem undermines the whole process. Correspondingly, rushing a solution without having thought out the problem or process can have detrimental effects. Therefore, actions taken during the Shaping Front can have consequences later on.

The military has cultivated an action-oriented culture. This has been essential to the military's success. However, when events require action quickly, there can be a lack of patience for assessing and understanding before undertaking an activity. Circumstances will dictate how much time leaders can dedicate to such activity. Nevertheless, even in the most time constrained environment, some thought and inquiry is essential to increasing the prospects of success. Napoleon Bonaparte stated, "If I always appear prepared, it is because before entering an undertaking, I have meditated long and have foreseen what might occur. It is not genius which reveals to me suddenly and secretly what I should do in circumstances unexpected by others; it is thought and preparation." In current Army doctrine, Napoleon's meditation is the "visualize" in visualize, describe, and direct methodology.⁵ The elements of operational design provide leaders a conceptual framework during the visualization process to develop and evaluate a plan that fits the organization's situation as they think about the end state and strategy for achieving that end state.⁶

Establishing a transition process acknowledges that a roadmap has to be drawn that helps guide the organization on a path toward a new destination. It starts with understanding the status of the organization in order to know the starting point and the visualized end state. Managing a transition process is about dealing with change. There is a tendency to view change with trepidation and uneasiness. Fear of the unknown or uncertainty is common; however, change is continual. The ancient Greek philosopher, Heraclitus, believed that the only reality is change. It is through change and transition that leaders can improve organizations.

Improving organizations is one of the fundamental requirements of Army leadership. FM 6-22 defines leadership as "...the process of influencing people by providing purpose, direction, and motivation while operating to accomplish the mission and *improving the organization* [italics mine]."⁷ However, change and an accompanying improvement cannot be haphazardly accomplished. Change must be meticulously thought out and planned. While many capable leaders have overcome the transition period without a systematic approach, many opportunities to improve their organizations and to realize their full

potential have been lost. This reinforces the idea that “good is the enemy of great.”⁸ Being content with just good deprives individuals and organizations the motivation to strive for excellence and improvement. Jim Collins points out “...those who turn good into great are motivated by a deep creative urge and an inner compulsion for sheer unadulterated excellence for its own sake. Those who build and perpetuate mediocrity...are motivated by the fear of being left behind.”⁹

Undoubtedly, most organizations will provide incoming leaders with a set of activities during the transition period. However, as LTC Raymond Rasmussen and COL Leo Baxter write, “...Command transitions often have no clearly stated goals or outcomes. The new commander...probably won’t have a clearly articulated vision or an agenda for change...The unit will have an agenda...with no goals except to...demonstrate how ‘squared away’ the unit is (thereby, heading off any radical changes).”¹⁰ Assessing and gaining an understanding of the organization, the environment within which it operates, the external factors affecting the organization, and conducting a self-assessment (which many overlook) are important aspects during the Shaping Front. The significance of situational understanding can be summed up in Sun Tzu’s saying, “Know the enemy, know yourself; your victory will never be endangered. Know the ground, know the weather; your victory will then be total.” These activities should continue throughout the transition process. Accomplishing this helps leaders develop plans that can gain the initiative and build momentum during the first few months that can be vital to helping improve their organizations.

Leaders do not need to know everything. However, leaders who recognize their shortcomings and work to expand their knowledge and experience will help achieve positive organizational development. “See yourself” is about self-knowledge and self-awareness. It is about truthfully identifying one’s strengths and weaknesses. However, strength in one situation may be a weakness in another especially when it comes to leadership styles and dealing with different individuals. This emphasizes the importance of leaders assessing and understanding the organizations and individuals they will be leading. Fundamental to this process is the leader’s willingness to learn and adapt continuously. Leaders should make learning a life long endeavor because it is the only way they can successfully adapt to continual change. Reflecting on individual experiences brings understanding and leads to knowing what to do.¹¹ It requires fusing experience with

knowledge shaped by critical thinking. However, reflecting on experience without a base of knowledge and cognitive skills hinders understanding. Leaders must develop these skills. It is appropriate for leaders to write down their leadership philosophies. Articulating it through a written medium provides subordinates a reference they can use for clarification of the leader's intent and style. Many believe charismatic and high profile leaders lead effective organizations. However, Jim Collins observes that leaders who are "self-effacing, quiet, reserved, even shy...paradoxical blend of personal humility and professional will" are the ones who take good organizations to great levels.¹² A survey of scholars conducted by the Wall Street Journal ranked Presidents George Washington and Abraham Lincoln in the top tier of American presidents, consistent with most other surveys.¹³ Both men embodied the blend of personal humility and "unwavering resolve" that helped the nation through extraordinary circumstances and left legacies beyond their life times.

Emotional intelligence (EI) is an integral facet of "seeing yourself" and leadership. With EI, leaders have an emotional self-awareness, an internal motivation to use understanding to guide thinking and actions in interpersonal settings, and an ability to channel and regulate those emotions in a positive manner to create effective and adaptive outcomes.¹⁴ EI also allows them to develop an understanding of others' emotions or empathy. Leaders develop empathy through listening, respecting, and gaining an understanding of others' perspectives and the rationale for their views. Understanding also comes from taking the time to know an individual's history that may have helped develop the individual's values and opinions. Leaders develop mutual understanding through communication in both directions. Therefore, EI provides competence to manage the interpersonal requirements within an organization. A military study in 2004 showed that while professional and technical skills are important, the distinction between good and poor leadership "...rests primarily in the interpersonal domain," with good leaders exhibiting encouraging, trusted, credible, and listens well behaviors.¹⁵ Leadership is more than influencing individuals. It is influencing organizations that have "personalities" of their own. It is about facilitating the interpersonal relationships that bridge the seams between individuals and teams. Without this, organizations would not be able to function effectively.

The Army's Intelligence Preparation of the Battlefield process provides support to situational understanding.¹⁶ Likewise, leaders should use a similar methodology to gather information about the

organization and identify the organization's context. Institutional documents such as evaluation and inspection reports and standard operating procedures provide a snapshot of the organization's status. Because these are snapshots, leaders should review documents from a range of years to gain a more complete picture of the organization. The range provides a better understanding of the evolution of the organization and highlights any identification of trends and insights. This is called "placing organizations."¹⁷ Placing organizations provides a relatively quick method to shift through any bias that a snapshot look may create, compare current capabilities and status with the past (and why there may differences), and understand what the organization currently does and what it may or may not do.¹⁸ Understanding the status of the organization includes knowing its capabilities, values, and commitment to its mission.

To understand external factors that may affect the organization, leaders should gather information about the political, cultural, economic, and security situations. Ideally, leaders can obtain much of the information through briefings received prior to arriving at the organization or from contacts within the organization. If not, information can be obtained through a variety of sources including the organization's higher headquarters, local installations, government agencies (i.e. Department of State and CIA Fact Book), Army civil affairs unit area studies, and non-governmental agencies. Additionally, mediums such as the internet provide a wealth of open source data. As a way to manage information, the Army categorizes information into mission, enemy, terrain and weather, troops and support available, time available, and civil considerations (METT-TC). This helps leaders in decision-making. Similarly, leaders should categorize relevant information into groups to facilitate understanding of the organization's context. One possibility is to group the information into "customers, collaborators, capabilities, competitors, and conditions."¹⁹

Leaders should also consider the cultural dimension. Every organization has a unique culture. It is "...a persistent, patterned way of thinking about the central tasks of and human relationships within an organization. Culture is to an organization what personality is to an individual."²⁰ Culture will dictate how an organization responds to different situational challenges. While some people view organizational behavior as the sum of the individuals' behaviors within the organization, organizational culture will also dictate the behavior of individuals. As Robert Keohane states "...institutions do not merely reflect the

preferences and power of the units constituting them; the institutions themselves shape those preferences and that power.”²¹ Therefore, organizations and individuals affect each other’s behaviors. Furthermore, James Q. Wilson notes “...[an organization] will be poorly adapted to perform tasks that are not defined as part of that culture.”²² For an Army organization to be fully competent in the tasks of full spectrum operations, leaders need to ensure all the tasks are embraced as part of the organization’s culture. Because culture is like personality, it takes time and tremendous effort to change it or more precisely, evolve it.

During the Shaping Front, leaders should also identify key stakeholders. These people will directly affect the leaders’ strategies and have a significant interest in how well the organization is run.²³ It is important to identify all of the key stakeholders. Ostensibly, they are superiors in the chain of the command. However, key stakeholders also can be found among subordinates (in particular those who have an impact beyond their “assigned” roles in the organization; “grapevine influencers” is a term that is sometimes used) and people outside the organization. Leaders who do not take into account the stakeholders’ interests during strategy development could jeopardize the whole transition process. Having identified the key stakeholders, leaders should initiate contact with them to establish a relationship early that will ease actions later on. The most important key stakeholder is the immediate superior in the chain of command. This person can open access to available resources that transitioning leaders can use to their advantage. Leaders should present and negotiate a transition timeline with their new boss to ensure expectations are set up front. Leaders also should provide their boss with regular status reports throughout the process.

The next segment of the transition timeline after the Shaping Front is the first day or D Day. The first day is crucial because first impressions last. Military leaders usually let organizational staffs dictate the activities and events for the first day. Just as commanders should write the commanders’ intent, leaders should dictate the first day’s agenda. First day activities communicate powerful messages about what is important to the leaders (intended or not), and the order of whom leaders meet and the locations they visit are compelling symbols.²⁴ Therefore, leaders should develop and control the agenda for the first day.

The first 30 days (D+1 to D+30) is the next segment. Leaders should attempt to expedite their learning and understanding of their organizations and environments. Effective and efficient learning requires

leaders to develop an understanding of what they need to learn to concentrate their efforts and determine where and how they can gather the required information and insights.²⁵ These sources will come from a variety of people both internal and external to the organization. The Army has climate surveys that provide an initial assessment of the organization's climate. Additionally, leaders can use surveys, interviews with individuals and cross sections of their organizations, group meetings, and tours of work areas to acquire a better sense of their organizations. Leaders should use these opportunities to discern widespread or disparate views and trends. Discussions with external sources can increase interest and provide different perspectives on how an organization's supported population views it. As leaders have departments or groups brief their mission and goals, leaders should study, observe, question, listen, and assess.

Leaders should probe the assumptions and "facts" that underlie their preliminary findings or initial assessments. They should ensure a cross section of the key stakeholders within the organization have an opportunity to challenge, question, or confirm the findings and assessments.²⁶ Leaders must be open to feedback and criticism. Leaders who can create "...a climate where the truth is heard and the brutal facts confronted" provide a mechanism for personal and organizational improvement.²⁷ Asking questions and listening to the answers (even if leaders may not agree) provide team members a stake in helping leaders gain a better understanding. Just as honest self-reflection creates understanding and knowing what to do, a sincere effort at confronting the "brutal facts" will make many decisions obvious.

Part of the initial assessment should be identifying where potential opportunities are to secure early short-term victories. What constitutes a victory will depend on the circumstances, but it could be as simple as getting the resources the organization needs to accomplish its objectives. The importance of these early wins is in building confidence within the organization.²⁸ Wins lay the traction for momentum that is crucial in this early stage. Gaining the initiative and maintaining it should be a key part of the leader's strategy.

Integral to building confidence is building credibility. Credibility and trust in leaders is essential to their ability to influence and lead organizations effectively. Leaders gain this trust through open communication about ethical standards, expectations, and exhibiting ethical behavior. It is essential that leaders' behaviors are consistent with the values and the ethics message they espouse. Moral courage is the

foundation that upholds values. It allows leaders to act upon their principles and values in the face of adversity. Without principles and moral courage, leaders will not gain the credibility and trust they need.

As part of gaining a greater understanding of the organization, leaders should conduct a needs assessment during this stage (D+1 to D+30). In program evaluation concepts, a needs assessment is a systematic approach to identifying problems and determining their extent that concerns major stakeholders, defining the target group or groups to be served, and describing what the service needs are of that target population.²⁹ Leaders should do this assessment for the organization as a whole and for all programs that the organization provides. Optimally, trained program evaluators should conduct the needs assessment. However, if it is not possible, leaders can form teams from within the organization.³⁰

The next segment of the transition process is D+31 to D+60. Too often, leaders assume that the organization's vision (if there is one), mission, goals, objectives, tasks, and the measures for those objectives are aligned. In many cases, they are not because of the evolving environmental context. Therefore, leaders should consider the need for strategic alignment. The purpose is to ensure the organization develops a shared purpose and a strategy to achieve the vision. Leaders update the strategy based on continuous assessments.

Vision is the means by which leaders provide direction and purpose to an organization. Clarity of direction through vision helps with unity of effort and allows honest assessments of what needs to be done to increase efficiency and the efficacy of the organization. As FM 6-22 states, "...forming a vision is pointless until the leader shares it with a broad audience, gains widespread support, and uses it as a compass to guide the organization."³¹ The recommendation is for leaders to create a small team that represents a cross section of the organization to develop a consensus on vision, mission, and goals.³² Because the organization's members must share the vision, a team-developed vision is one way to help increase acceptability by placing members in the decision making process. Nevertheless, leaders play a central role in the process as they provide initial and periodic guidance and approval along the way to vision development. It is important that leaders select the right individuals for this team because of their critical mandate. Vision development can be a lengthy process and requires leaders to be flexible, tolerant, and not dogmatic. During strategic alignment, leaders and their teams need to answer for their organizations where they want to go (vision),

where and what they are currently (mission), how they intend to get to their destination (goals), and what they need to do well to reach their goals (objectives).

In considering a strategic alignment, many leaders will be tempted to reorganize the structure of the organization only (i.e. move the organizational chart boxes). Organizational restructuring without an overarching vision and strategy will likely fail. Organizational redesign must address structure, processes, interrelationships, and the integration of the work effort. This systems approach allows leaders to comprehend the multiple factors that create the organizational context. Any change must take into account the components of the strategic alignment and the organization's core deliverables and capabilities to provide those deliverables. Organizational redesign should establish a flexible and accommodating organizational structure. A focus on the design and management of the processes and specifically the way participants interact and process and share information to produce outcomes is important to creating adaptability.³³

One of the ways leaders can address the efficiency and effectiveness of the capabilities and services the organization provides during strategic alignment is to look at program theory. Program theory relates to what the organization and its programs are expected to produce (impact theory) and the means such as structure, strategy, and tasks (process theory) that are established to achieve its goals and objectives (Figure 2 on p. 12).³⁴ There must be a causal relationship between process theory and impact theory.³⁵ A method of articulating program theory is to use logic models (Figures 3 and 4 on p. 13). Describing program theory for a tactical military organization may seem simple, but the process of delineating the organization's actions and activities to produce certain outcomes especially in full spectrum operations can be quite complicated.

During this stage, leaders should work to establish a sense of urgency or a sense of mission.³⁶ Transitions and change can bring a sense of heightened anxiety to the organization. This can amplify creativity and insights. Leaders can exploit this to establish a sense of urgency and maximize this window of opportunity for strategic alignment and team building. Building a climate of honesty and integrity, clarifying vision, and securing early victories all work toward creating a sense of mission and urgency.

Leaders should also focus on building and developing teams and creating unity. Understanding the abilities and traits of individuals provides leaders the knowledge to fit an individual to the right position

within the new organizational design. However, more importantly, it provides leaders a starting point in carrying out one of their central responsibilities--developing individuals through counseling, coaching, and mentoring.³⁷ Developing subordinates' abilities and capacities for intellectual and critical thought is important. The actions of the subordinates based on their own critical thinking in the near term will dictate the success of the organization's vision in the long term. Therefore, leadership is about developing individuals into leaders who can fit into the right roles. This sets the foundation for building and developing teams. Strategic alignment with a focal vision is fundamental to building teams. However, "great vision without great people is irrelevant."³⁸ Therefore, both should be developed and aligned concurrently.

Creating unity and building teams require individuals having clarity of purpose, having a say in decisions that affect their lives, and having leaders who can be a unifying force. Strategic alignment helps in clarity of purpose, and leaders who listen give individuals a share in the organization's future. Leaders who build a disciplined culture within their organizations provide the unifying force. They do this by "creating a consistent system with clear constraints, but also [giving] people freedom and responsibility within the framework of that system."³⁹ Empowering individuals capitalizes on the enterprise, ingenuity, and acuity of the individuals. Leaders build teams and empower through vision, organizational design alignment that is compatible with the vision, and individual development and training.⁴⁰ The more leaders empower subordinates based on a shared purpose, the more influence leaders have. The Army's concept of mission command deals with the seeming paradox that allows subordinates freedom of action and requires initiative within the commander's intent.⁴¹ Leaders provide teams with the authority and resources to accomplish their tasks. They use motivational tools such as incentives, vision, teamwork, and social events to build unity.

During this stage, leaders also establish key milestones for the organization's teams that turn the objectives derived from strategic alignment into manageable portions to work.⁴² Shared metrics across the entire organization ensures integration and synchronization leading to unity of effort. Milestones provide individuals an understanding of expectations. This also provides another means to help build teams within the organizations. Additionally, milestones allow leaders to assess progress and the ability to make any adjustments. Having identified the early short-term victory opportunities in the first month, leaders continue

to work to secure those wins during this period to help build confidence and build momentum. It is also important to secure wins that matter to the boss.⁴³ Not securing such wins reduces the leader's effectiveness.

The next stage is D+61 to D+90. Regular meetings (monthly or quarterly depending on the circumstances) to assess and monitor progress and to reallocate resources, if necessary, are important. It also provides a forum for senior leadership within the organization to provide feedback and their assessments. It is during this period that leaders should initiate a communications campaign. This campaign is a concerted effort to build "buy in" to the strategic alignment. It ensures reinforcement of the vision and mission message and celebrates the early victories to reinforce new behaviors. This helps shape the organization's culture and continues to build the unity needed for a successful transition. Finally, organizations are not islands within their environments. They rely on other organizations. Leaders should build coalitions with other individuals and organizations to reduce redundancies and gain efficiencies, capitalize on others' strengths, and provide mutual support.⁴⁴ In doing so, they help achieve a common purpose.

The final stage of the transition timeline is D+91 and beyond. At this point, leaders should be managing systems within a disciplined culture that promotes open communication and proactive thinking. Leaders will be able to adjust to the inevitable crises that arise over time. Additionally, leaders focus on building loyalty, trust, and commitment to sustain the organization's change and improvement.⁴⁵ Leaders should continually refine their strategy to match the changing circumstances. This ensures their organizations remain relevant and prepared to meet the evolving challenges of their environments.

A successful leader transition process requires a meticulous assessment and understanding of the circumstances coupled with comprehensive planning and preparation. As with most endeavors, prior planning is important to the transition process and future success. A methodical and organized leader transition provides leaders an opportunity to maximize the positive and beneficial impact they can have on their organizations. Transitions are occasions for leaders to sever needless constraints and concentrate on future possibilities. They provide leaders with opportunities to break down barriers, to overcome obstacles, and to strive for excellence. In the end, how leaders begin their transition period will determine how well they develop the teams that are essential to leading their organizations to new heights.

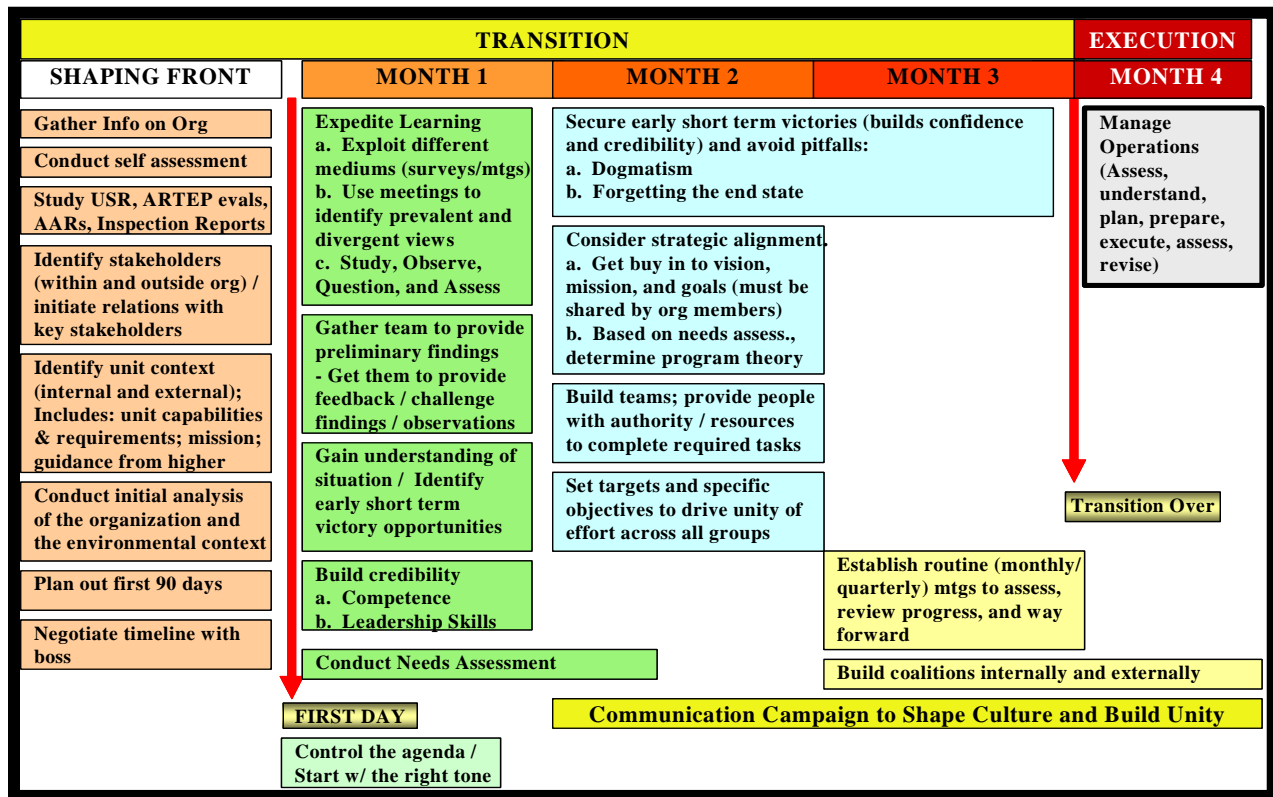
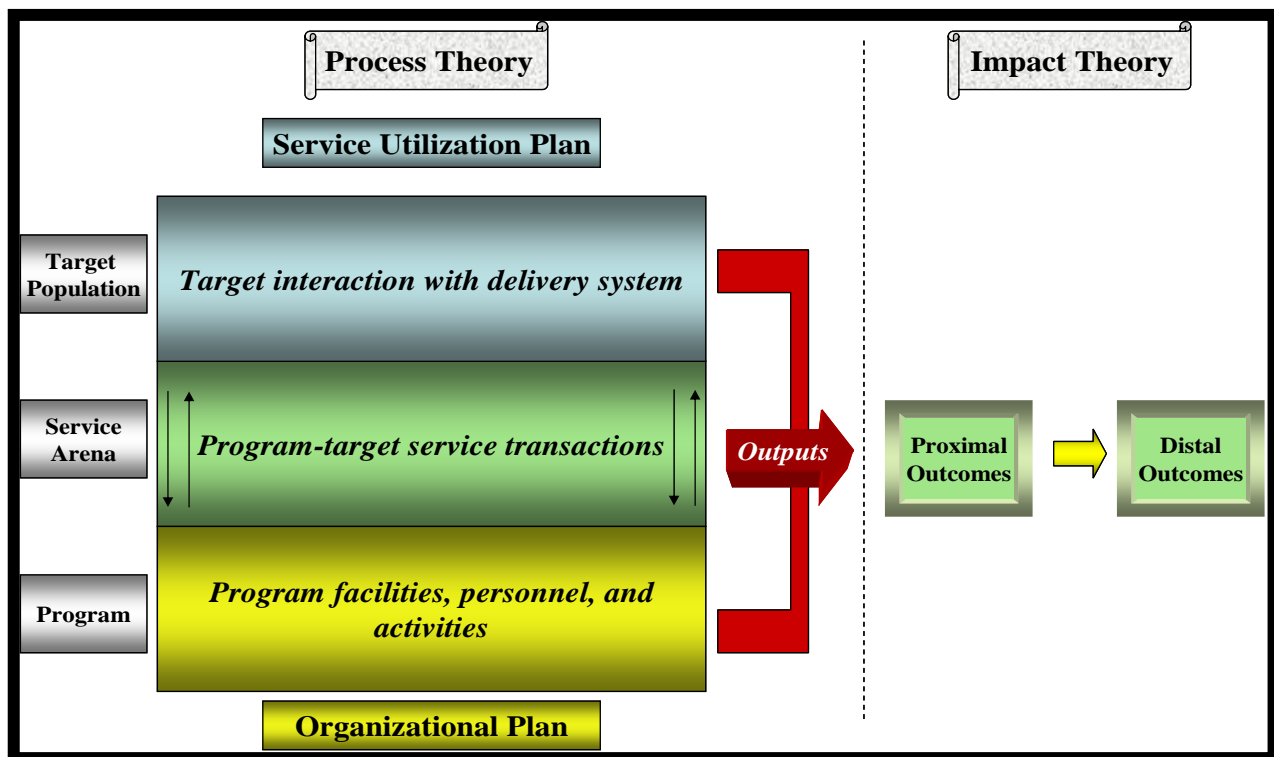
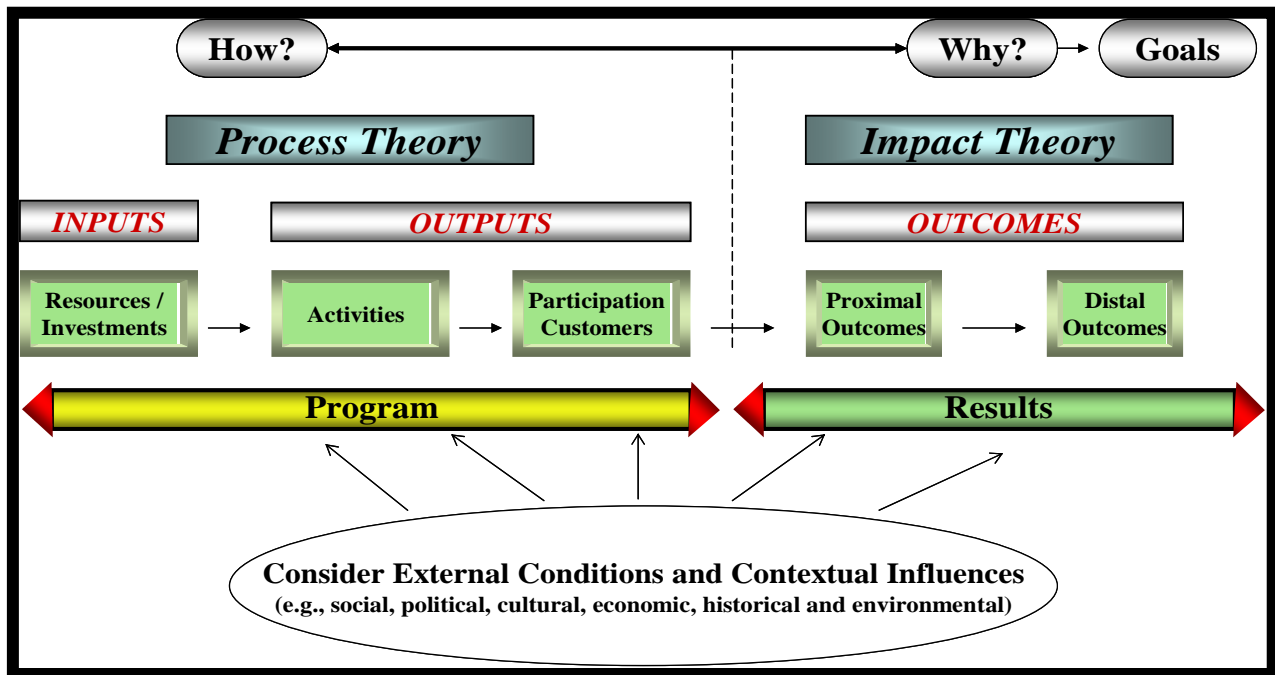
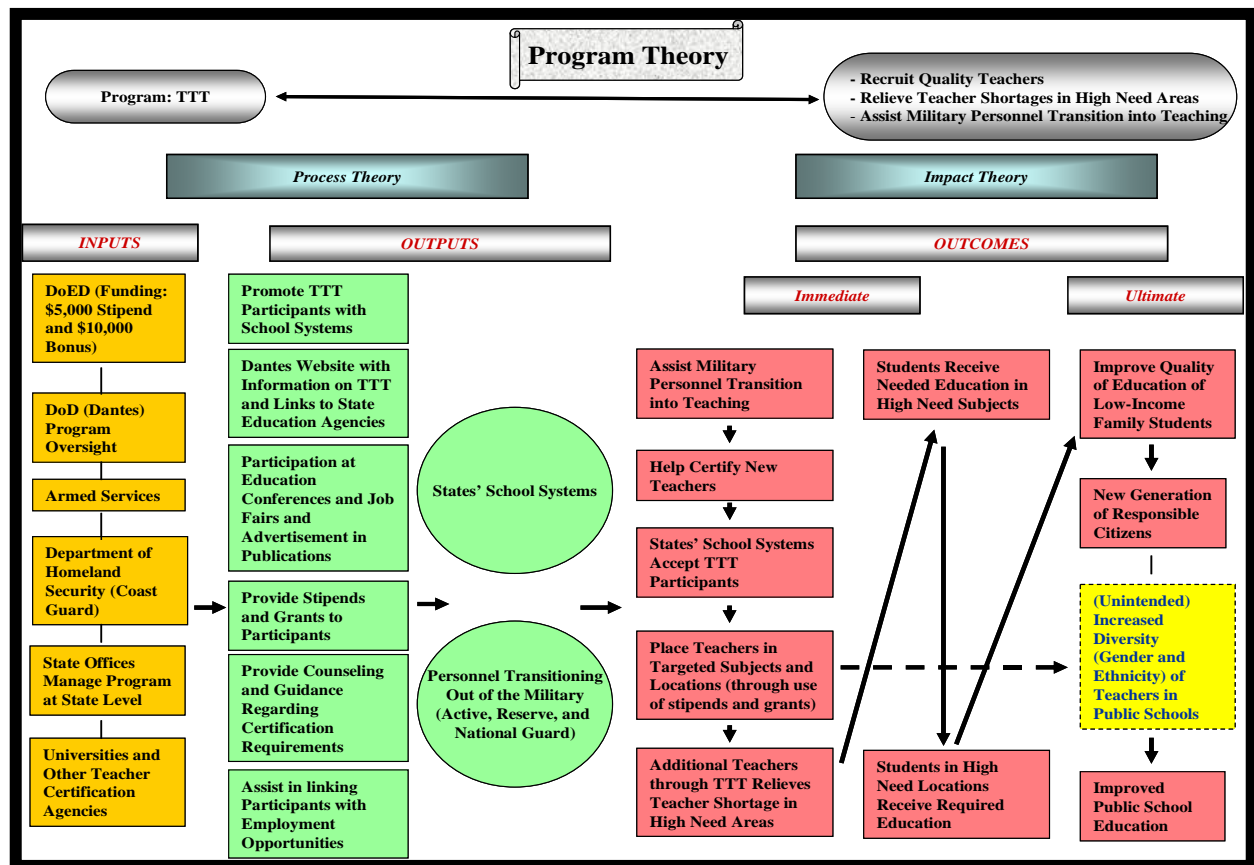
FIGURE 1: LEADER TRANSITION PROCESS TIMELINE

FIGURE 2: DESCRIBING PROGRAM THEORY⁴⁶


FIGURE 3: ELEMENTS OF A LOGIC MODEL⁴⁷FIGURE 4: EXAMPLE OF PROGRAM THEORY FOR TROOPS TO TEACHERS PROGRAM⁴⁸

ENDNOTES

¹ Niccolò Machiavelli, *The Prince*, trans. Peter Bondanella and Mark Musa, ed. Peter Bondanella, Oxford University, Oxford, 1998, Questia, 20 Dec. 2006, p. 21, <<http://www.questia.com/PM.qst?a=o&d=97573419>>.

² Several sources provided ideas on the individual steps within the leader process timeline as well as for the rest of the article; they include:

George B. Bradt et al., *The New Leader's 100-Day Action Plan: How to Take Charge, Build Your Team, and Get Immediate Results*, John Wiley & Sons, Inc., Hoboken, New Jersey, 2006

John P. Kotter, *Leading Change*, Harvard Business School Press, Boston, Massachusetts, 1996

Raymond E. Rasmussen II and Leo J. Baxter, "Command Transition: Sharing a Vision," *Field Artillery: Bimonthly Professional Bulletin for Redlegs* (ISSN 0899-2525), Headquarters, Department of the Army (HQDA PB6-93-2), April 1993. Mr. Dennis Hanrahan, CGSC-ILE instructor, provided a hard copy of the article.

Michael Watkins, *The First 90 Days: Critical Success Strategies for New Leaders at All Levels*, Harvard Business School Press, Boston Massachusetts, 2003

³ "Army Planning and Orders Production," Headquarters, Department of the Army, FM 5-0, January 2005, p. 1-10.

⁴ Ibid., p. 2-6. FM 5.0 lists the seven step problem solving model as (1) ID the Problem; (2) Gather Information; (3) Develop Criteria; (4) Generate Possible Solutions; (5) Analyze Possible Solutions; (6) Compare Possible Solutions; (7) Make and Implement the Decision.

⁵ "Army Planning and Orders Production," p. 3-4.

⁶ "Operations," Headquarters, Department of the Army, FM 3-0, June 2001, p. 5-4. Figure 5-1 lists the elements of operational design: end state and military conditions; center of gravity; decisive points and objectives; lines of operation; culminating point; operational reach, approach, and pauses; simultaneous and sequential operations; linear and nonlinear operations; and tempo. Elements will be updated in the new FM 3-0.

⁷ "Army Leadership: Competent, Confident, and Agile," Headquarters, Department of the Army, FM 6-22, October 2006, p. 1-2.

⁸ Jim Collins, *Good to Great: Why Some Companies Make the Leap...and Others Don't*, Harper Collins Publishers Inc., New York, 2001, p. 1.

⁹ Ibid., p. 160.

¹⁰ Rasmussen and Baxter, p. 42.

¹¹ Warren Bennis, *On Becoming a Leader*, Basic Books Inc., New York, 2003, p. 55.

¹² Collins, pp. 12-13.

¹³ The survey is shown on the Opinion Journal of Wall Street Journal online:

<http://www.opinionjournal.com/hail/rankings.html> and the full ranking methodology is shown on

http://www.opinionjournal.com/hail/math/ranking_methodology.pdf

¹⁴ David R. Caruso and Charles J. Wolfe, "Emotional Intelligence and Leadership Development," in *Leader Development for Transforming Organizations: Growing Leaders for Tomorrow*, ed. David V. Day, Stephen J. Zaccaro, and Stanley M. Halpin, Mahwah, NJ: Lawrence Erlbaum Associates, 2004, Questia, 26 Dec. 2006, p. 242 <<http://www.questia.com/PM.qst?a=o&d=104347592>>

¹⁵ Walter F. Ulmer, Jr. et al., "Leadership Lessons at Division Command Level—2004 Survey," *L100 Leadership Advance Sheets and Readings*, CGSC AY 06-07, April 2006, Reading L102RD, p. 92.

¹⁶ "Army Planning and Orders Production," pp. 3-17 to 3-18. IBP is a systematic and continuous method of analysis of the threat and environment that helps support decision making. The four steps for IPB are Define the Battlefield Environment, Describe the Battlefield's Effects, Evaluate the Threat, and Determine Threat Courses of Actions.

¹⁷ Richard E. Neustadt and Ernest R. May, *Thinking in Time: The Uses of History for Decision Makers*, The Free Press, New York, 1986, p. 212.

¹⁸ Ibid., p. 230.

¹⁹ Bradt et al., p. 33.

²⁰ James Q. Wilson, *Bureaucracy: What Government Agencies Do and Why They Do It*, Basic Books Inc., New York, 2000, p. 91.

²¹ Graham Allison and Philip Zelikow, *Essence of Decision: Explaining the Cuban Missile Crisis*, Second Edition, Addison-Wesley Educational Publishers Inc., 1999, p. 157.

²² Wilson, p. 95.

²³ Bradt et al., p. 53.

²⁴ Ibid., p. 83.

²⁵ Watkins, p. 37.

²⁶ Ibid., p. 51.

²⁷ Collins, p. 74.

²⁸ Bradt et al., p. 128.

²⁹ Peter H. Rossi et al., *Evaluation: A Systematic Approach*, Seventh Edition, Sage Publications Inc., Thousand Oaks, California, 2004, p. 102. A needs assessment is not just a gap analysis that only identifies needs that the organization currently does not meet. It evaluates the extent of those needs and provides the basis for determining how an organization should provide services to meet those needs.

³⁰ The teams can study instructional books and pamphlets on conducting such assessments. Books such as Rossi's *Evaluation* and other sources on the internet provide comprehensive information on conducting needs assessments. While it takes years to train to be a qualified program evaluator, enough proficiency can be gained through some careful study that should allow teams to be able to conduct a needs assessment that can be a starting point. Some possible steps in the needs assessment process: (1) Identify users and uses (key stakeholders and purpose of the assessment); (2) Develop needs assessment plan (assessment questions, data collection plan, data analysis plan, and report dissemination plan); (3) Collect and analyze data (use applied research techniques); (4) Describe target population and service environment (detailed information about the target population and the services currently available); (5) Identify needs; (6) Make the needs assessment (integrate information about problems and solutions to produce recommendation); (7) Communicate the results of the needs assessment.

³¹ "Army Leadership: Competent, Confident, and Agile," p. 12-2.

³² Lee M. Bradley, "Vision: The Concept of Providing Focus on the Future," *L100 Leadership Advance Sheets and Readings*, CGSC AY 06-07, April 2006, Reading L107RA, p. 329. Todd Jick provides three options for developing organizational vision, leader developed, leader/senior team developed, and bottom-up vision development. My recommendation is a hybrid of the second and third options.

³³ Allison and Zelikow, p. 265.

³⁴ Rossi et al., pp. 134-135.

³⁵ The description of program theory and its components (process theory and impact theory) is taken from Rossi et al., pp. 139-146. Process theory is how the program is supposed to operate and encompasses how the organization is structured and how it provides its services. Impact theory deals with the nature of the changes induced by the program from short-term (proximal) to long-term (distal) outcomes.

³⁶ Kotter, p. 35.

³⁷ "Army Leadership: Competent, Confident, and Agile," p. 8-11. Counseling is defined as occurring "...when a leader, who serves as a subordinate's designated rater, reviews with the subordinate his demonstrated performance and potential, often in relation to a programmed performance evaluation." Coaching is defined as "...the guidance of another person's development in new or existing skills during the practice of those skills." Mentoring is defined as when "...a leader with greater experience than the one receiving the mentoring provides guidance and advice; it is a future-oriented developmental activity focused on growing in the profession."

³⁸ Collins, p. 42.

³⁹ Ibid., p. 125.

⁴⁰ Kotter, p. 115.

⁴¹ "Army Planning and Orders Production," p. 1-5. Mission command is defined as "...the conduct of military operations through decentralized execution based on mission orders for effective mission accomplishment. Successful mission command results from subordinate leaders at all echelons exercising disciplined initiative within the commander's intent to accomplish missions."

⁴² Bradt et al., p. 113.

⁴³ Watkins, p. 82.

⁴⁴ Ibid., pp. 200-202.

⁴⁵ Bradt et al., p. 191.

⁴⁶ Rossi et al., p. 140. Figure 2 (Describing Program Theory) is taken from Exhibit 5-C (Overview of Program Theory).

⁴⁷ Thomas E. Grayson and Edward M. Slazinik, *Program Evaluation Work Shop Briefing*, December 5, 2001, Slide 25 and adapted from McLaughlin, J. A., & Jordon, G. B. (1999) and Rossi, Lipsey, and Freeman (2004).

⁴⁸ Abha Prasad, Alan Rogers, Michael Siegl, and Rhonda Simms developed an example of a program theory for the Troops to Teachers (TTT) program in May 13, 2005 while at GPPI, Georgetown University. It is not an official program theory for the TTT program.